

### REMARKS/ARGUMENTS

Claims 1-3, **9,10-16,18-20**,22,23 stand rejected under 35 U.S.C. 103(a) as being unpatentable over Polcyn et al (US patent 5,930,792).

Applicants have considered the references and the examiner's analysis and respectfully disagree.

Applicants respectfully submit that the examiner has failed to establish a *prima facie* case of obviousness. Applicants request that the examiner reconsider the rejection because the references cited by the examiner do not teach all of the elements of the claimed invention and that the examiner has not considered the claimed invention as a whole.

Applicants submit that "all words in a claim must be considered in judging the patentability of that claim against the prior art." *In re Royka*, 180 USPQ 580 (CCPA 1974); *see also* MPEP 2143.03. Here, Applicants submit that the Examiner has not considered the claim language, in claim 1 for example, that recites:

***maintaining the set of states associated with said object*** and state transitions for indicating valid transitions among states in the set of states and maintaining an indication of a current state of said object wherein said current state is a state selected from said set of states;  
***providing said object, an indication of said current state, and an indication of selected state transitions based on said current state*** to said second computer *whereby the second computer may only perform the state transitions based on said selected state transitions.*

(Emphasis added.) Independent claims 10 and 19 have similar limitations. For example, claim 10 recites:

a data structure for at least one object in a set of objects in said object management system, comprising for said at least one object ***a set of states in which said object may be maintained, a set of***

*transitions between said states, and a current state;*

computer-readable server instructions that receive requests from a client for said object and *retrieve from said data structure at least a subset of transitions between states, where said subset of transitions is based upon transitions out of the current state;* and

computer-readable server instructions that return to said client an indication of at least the subset of transitions between states.

(Emphasis added.) For example, claim 19 recites:

transmitting the request to a server that maintain a data structure for the selected object comprising *a set of states in which the object may exist, a set of transitions between said states, and a current object state, whereby the server provides an indication of a subset of transitions between states, where said subset of transitions is based upon transitions out of the current object state;* and

providing an indication of *operations that may be performed upon said object where said operations are based upon the subset of transitions provided by the server.*

Polcyn does not teach or suggest maintaining states in which *the object may exist*, but rather merely teaches “a set of software state machines for defining a hierarchical menu structure by restricting movement between links.” Notably the Polcyn states do not address the current state of the object itself. On the contrary, Polcyn teaches that a user can move from one document to another only in a particular order. “For instance, the user has entered at Document A, which allowed the state machine to increment to the state which indicates that the next three documents, B, C, D, are legal moves, but not document E.” The present invention, on the other hand, is directed to changing the state of a particular object.

For example, Figure 4 of the present application illustrates an exemplary state transition diagram for a document management system. Using the example of state transitions of Figure 4, the set of valid state transitions could be stored in a table of the form:

From State	To State	Operation (Transition) Name	Credential
None	Checked-Out	Create	All
Checked Out	Checked-In	Check-In	Group A
Checked-In	Checked-Out	Check-Out	All
Checked-In	Expired	Delete	Group B
Expired	Checked-In	Restore	Group B

Table 1 – Sample State Transitions

From the set of all possible valid transitions, the presently valid transitions can be determined based on the current state. Thus for example, if  $DOC_A$  is currently in a “Checked-In” state, the possible valid state transitions and thus operations are “Check-Out” and “Delete.”

The examiner has indicated:

Polcyn does not explicit teach the term “maintaining for the object, the set of state. However, Polcyn teaches the document contained within server, saving the address of each link. It would have been obvious to apply the teaching of Policy for the purpose of maintaining in order to provide the object or set of state for the state transitions on a server.” Action p.2.

However, this explanation by the examiner does not address the failing of the reference to teach maintaining the state of an object, i.e., the state in which the document may exist and the current

state of that document. To make up for the glaring deficiency in Polcyn, the examiner has engaged in conclusory statements that it would have been obvious. Notably no reference is provided to make up for the admitted deficiency. Applicants submit that such conclusory statements are improper grounds for rejection.

Inasmuch as claims 2-3, 9-16, 18-20 and 22-23 depend from claims 1, 10 and 19, Applicants submit that they also patentably define over the references for at least the reasons outlined above.

Claims 4, 21 stand rejected under 35 U.S.C. 103(a) as being unpatentable over Polcyn et al. (US patent 5,930,792) in view of APA (Admit Prior Art).

Inasmuch as claims 4 and 21 depend from independent claims 1 and 19, Applicants submit that they also patentable define over the cited references at least for the reasons outlined above in connection with the independent claims.

Claims 5 and 17 stand rejected under 35 U.S.C. 103(a) as being unpatentable over Polcyn et al. (US patent 5,930,792) in view of APA (Admit Prior Art) and further in view of Kato et al. (method and device for expanding WW browser function).

Inasmuch as claims 5 and 17 depend from independent claims 1 and 10, Applicants submit that they also patentable define over the cited references at least for the reasons outlined above in connection with the independent claims.

Claims 6, 7, 8 stand rejected under 35 U.S.C. 103(a) as being unpatentable over Polcyn et al (US patent 5,930,792) in view of APA (Admit Prior Art) and further in view of Minow (US Patent 6,418,464).

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**PATENT**

Inasmuch as claims 6, 7 and 8 depend from independent claim 1, Applicants submit that they also patentable define over the cited references at least for the reasons outlined above in connection with the independent claims.

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### **CONCLUSION**

Reconsideration of the Office Action a Notice of Allowance for claims 1-23 are respectfully solicited.

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